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7-02-01  
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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY PATENT APPLICATION TRANSMITTAL**  
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 74451.P133  
(maximum 12 characters)

First Named Inventor Edward L. Schwartz

Title: METHOD AND APPARATUS FOR STORING BITPLANES OF COEFFICIENTS IN A REDUCED SIZE MEMORY

Express Mail Label No. EL672747791US

11046 U.S. PRO  
03/30/01  
03/30/01

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D. C. 20231

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  **Fee Transmittal Form** (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2.  **Applicant Claims Small Entity Status.** (37 CFR 1.27)
3.  **Specification** (Total Pages 93)  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  **Drawings(s)** (35 USC 113) (Total Sheets 26)
5.  **Oath or Declaration** (Total Pages 5)
  - a.  Newly Executed (Original or Copy)
  - b.  Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 17 completed)
    - i.  DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
    - c.  Unsigned.
6.  **Application Data Sheet.** (37 CFR 1.76)
7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8.  Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9.  **Assignment Papers (cover sheet & documents(s))**

10.  a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)

b. Power of Attorney

11.  English Translation Document (if applicable)

12.  a. Information Disclosure Statement (IDS)/PTO-1449

b. Copies of IDS Citations

13.  **Preliminary Amendment**

14.  **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**

15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)

16.  **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**

17.  Other: \_\_\_\_\_

18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

Continuation       Divisional       Continuation-in-part (CIP)  
Of Prior Application No.: \_\_\_\_\_ Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_  
(which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_,  
which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_) (List entire chain of priority)

**Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.**  
For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that \_\_\_\_\_ (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel. No. \_\_\_\_\_ Frame No. \_\_\_\_\_ (or a copy of which is attached).

19. Correspondence Address

Customer Number or Bar Code Label \_\_\_\_\_  
or \_\_\_\_\_ (Insert Customer No. or Attach Bar Code Label here)  
 Correspondence Address Below

NAME Michael J. Mallie

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

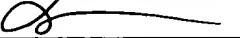
ADDRESS 12400 Wilshire Boulevard

Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-9397

Name (PRINT/TYPE): Michael J. Mallie Registration No.: 36,591

Signature:  Date: March 30, 2001

## FEE TRANSMITTAL FOR FY 2001

TOTAL AMOUNT OF PAYMENT (\$) 1106.00

## Complete if Known:

Application No. Not yet assigned  
 Filing Date Not yet assigned  
 First Named Inventor Edward L. Schwartz  
 Group Art Unit Not yet assigned  
 Examiner Name Not yet assigned  
 Attorney Docket No. 74451.P133

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666  
 Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:  Check  
 Credit Card  
 Money Order  
 Other

## FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity				
Fee	Fee	Fee	Fee		
Code	(\$)	Code	(\$)		
101	710	201	355	Fee Description	
106	320	206	160	Utility application filing fee	<u>710.00</u>
107	490	207	245	Design application filing fee	
108	710	208	355	Plant filing fee	
114	150	214	75	Reissue filing fee	
				Provisional application filing fee	
SUBTOTAL (1) \$ <u>710.00</u>					

2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims <u>42</u>	<u>- 20** = 22</u>	<u>X 18.00</u>	<u>= 396.00</u>
Independent Claims <u>2</u>	<u>- 3** = 0</u>	<u>X 80.00</u>	<u>= 0</u>
Multiple Dependent			

\*\*Or number previously paid, if greater; For Reissues, see below.

Large Entity	Small Entity				
Fee	Fee	Fee	Fee		
Code	(\$)	Code	(\$)		
103	18	203	9	Fee Description	
102	80	202	40	Claims in excess of 20	
104	270	204	135	Independent claims in excess of 3	
109	80	209	40	Multiple dependent claim, if not paid	
110	18	210	9	**Reissue independent claims over original patent	
				**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2) \$ <u>396.00</u>					

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee Code	Fee (\$)	Fee Code (\$)	
105	130	205	65
127	50	227	25
			<b>Surcharge - late filing fee or oath</b>
			<b>Surcharge - late provisional filing fee or cover sheet</b>
139	130	139	130
147	2,520	147	2,520
112	920*	112	920*
			<b>Non-English specification</b>
			<b>For filing a request for ex parte reexamination</b>
			<b>Requesting publication of SIR prior to Examiner action</b>
113	1,840*	113	1,840*
			<b>Requesting publication of SIR after Examiner action</b>
115	110	215	55
116	390	216	195
117	890	217	445
118	1,390	218	695
128	1,890	228	945
119	310	219	155
120	310	220	155
121	270	221	135
138	1,510	138	1,510
140	110	240	55
141	1,240	241	620
142	1,240	242	620
143	440	243	220
144	600	244	300
122	130	122	130
123	50	123	50
126	180	126	180
581	40	581	40
			<b>Petition to institute a public use proceeding</b>
			<b>Petition to revive - unavoidable</b>
			<b>Petition to revive - unintentional</b>
			<b>Utility issue fee (or reissue)</b>
			<b>Design issue fee</b>
			<b>Plant issue fee</b>
			<b>Petitions to the Commissioner</b>
			<b>Processing fee under 37 CFR 1.17(q)</b>
			<b>Submission of Information Disclosure Stmt</b>
			<b>Recording each patent assignment per property (times number of properties)</b>
146	710	246	355
			<b>For filing a submission after final rejection (see 37 CFR 1.129(a))</b>
149	710	249	355
			<b>For each additional invention to be examined (see 37 CFR 1.129(b))</b>
179	710	279	355
169	900	169	900
			<b>Request for Continued Examination (RCE)</b>
			<b>Request for expedited examination of a design application</b>
195	300	195	300
			<b>Publication fee for early, voluntary, or normal publication</b>
196	300	196	300
			<b>Publication fee for republication</b>
194	130	194	130
098	130	098	130
091	1,240	091	1,240
			<b>Request for voluntary publication or republication</b>
			<b>Processing fee under 37 CFR 1.17(i)</b>
			<b>Acceptance of unintentionally delayed claim for priority</b>

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3) \$ 0**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**

Typed or Printed Name: Michael J. Mallie

Signature:  Date: March 30, 2001

Reg. Number: 36,591 Telephone Number: 408-720-8300

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

## EXPRESS MAIL CERTIFICATE OF MAILING

"Express Mail" mailing label number:EL672747791US  
Date of Deposit: March 30, 2001

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

Mara E. Brown

(Typed or printed name of person mailing paper or fee)

Mara E. Brown  
(Signature of person mailing paper or fee)

3/30/01  
(Date signed)

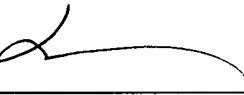
Serial/Patent No.: <u>*****</u>	Filing/Issue Date: <u>*****</u>
Client: <u>Ricoh Corporation</u>	
Title: <u>METHOD AND APPARATUS FOR STORING BITPLANES OF COEFFICIENTS IN A REDUCED SIZE MEMORY</u>	
BSTZ File No.: <u>74451.P133</u>	Atty/Secty Initials: <u>MJM/mzb</u>
Date Mailed: <u>03/30/01</u>	Docket Due Date: <u>*****</u>
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:	
<input type="checkbox"/> Amendment/Response (____ pgs.)	<input checked="" type="checkbox"/> Express Mail No. <u>EL672747791</u> <input checked="" type="checkbox"/> Check No. <u>41858</u>
<input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)	<input type="checkbox"/> Month(s) Extension of Time <u>US</u> Amt: <u>\$1106.00</u>
<input checked="" type="checkbox"/> Application - Utility (93 pgs., with cover and abstract)	<input type="checkbox"/> Information Disclosure Statement & PTO-149 (____ pgs.) <input type="checkbox"/> Check No. _____
<input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)	<input type="checkbox"/> Issue Fee Transmittal Amt: _____
<input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)	<input type="checkbox"/> Petition for Extension of Time
<input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)	<input type="checkbox"/> Petition for _____
<input type="checkbox"/> Application - Design (____ pgs.)	<input checked="" type="checkbox"/> Postcard
<input type="checkbox"/> Application - PCT (____ pgs.)	<input type="checkbox"/> Power of Attorney (____ pgs.)
<input type="checkbox"/> Application - Provisional (____ pgs.)	<input type="checkbox"/> Preliminary Amendment (____ pgs.)
<input type="checkbox"/> Assignment and Cover Sheet	<input type="checkbox"/> Reply Brief (____ pgs.)
<input checked="" type="checkbox"/> Certificate of Mailing	<input type="checkbox"/> Response to Notice of Missing Parts
<input checked="" type="checkbox"/> Declaration & POA (5 pgs.) <u>unsigned</u>	<input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business
<input type="checkbox"/> Disclosure Docs & Qig & Copy of Inventor Signed Letter (____ pgs.)	<input checked="" type="checkbox"/> Transmittal Letter, <u>NO PRIORITY</u>
<input checked="" type="checkbox"/> Drawings: <u>26</u> # of sheets includes <u>41</u> figures	<input checked="" type="checkbox"/> Fee Transmittal, in duplicate
<input checked="" type="checkbox"/> Other: <u>Request and Certification</u>	

## REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)

First Named Inventor Edward L. Schwartz  
Title METHOD AND APPARATUS FOR STORING BITPLANES OF COEFFICIENTS IN A REDUCED  
SIZE MEMORY  
Attorney Docket No. 74451.P133

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

March 30, 2001  
Date

  
\_\_\_\_\_  
Signature

Michael J. Mallie  
Typed or Printed Name

36,591  
Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months after the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(ii)).**

Send to: Assistant Commissioner for Patents, Washington, D.C. 20231